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Cancellation of Monograph Records in the LC Database

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BACKGROUND:

The Library of Congress has always followed a one format policy when deciding to catalog an item as a monograph or a serial. If the item is a serial, all monograph records were cancelled in the LC local database. The database maintenance required for this policy has always been borne by serial cataloging staff. The maintenance involves both online changes to records in the database as well as physical changes to the pieces. In spite of training efforts and improved documentation, monograph records continue to be created for serial items. We are also beginning to recognize that for some kinds of materials it is not always possible to determine seriality with the first piece.

The necessary online updates to records as well as calling all pieces from the stacks for relabeling or discarding is a time consuming process which becomes more and more difficult to justify.

Resources available to the cataloging areas are decreasing and tasks performed need to contribute to the mission of making new items accessible. It is difficult to justify spending time adjusting records for items for which access already exists. With closed stacks it does not really matter if all pieces in the serial set do not have the same call number. We now have a greater variety of technical tools, such as the integrated library system, to assist us with displays and relationships of items.

NEW POLICY:

In light of the above, the Library of Congress will no longer necessarily cancel all monographs when it is determined that the item is a serial. The Library of Congress is implementing procedures which follow the following precepts:

- In some cases, monograph records will be permitted to remain in the database although a serial record exists for the item. However, there must be a clear break between the volumes cataloged as monographs and the earliest volume recorded on the holdings for the serial record (e.g., volumes for 2000-2003 are cataloged as monographs but volume for 2004 and any subsequent volumes are cataloged as a serial and recorded on the serial record). The CONSER record will reflect that the serial began in 2000 but the LC local database monograph records will remain for the volumes representing 2000-2003. The monograph or monographs may be at the beginning or at the end of the serial as long as it is sequential and consistent.
- Add reciprocal 78X links to the serial bibliographic record and the record representing the latest volume cataloged as a monograph (e.g. The monograph record representing the volume for 2003 and the serial bibliographic record will link to each other.)

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- For stray monograph volumes that do not represent a clear break, the monograph record will continue to be deleted and its holding record will be relinked to the serial bibliographic record.
- Under no circumstances will monograph items be retrieved from the stacks for recataloging, relabeling, or discarding.

PROCEDURES:

The following procedures should be followed when encountering monograph records in the LC database. Search the database and determine which pieces of the serial are represented by a monograph record. Cancellation of all monograph records and adjustments to holdings records and item records are completed by Serial Record Division.

I. Several Monograph Records

If there are several monograph records that represent consecutive issues, the monograph records are not cancelled. The monograph records can be at any level - ibc, cbc, cbu, mlc. They are handled as follows:

- A. Give a general note on the serial bibliographic record indicating that some volumes are cataloged as monographs.

500 \$a Volumes for 2000-2003 separately cataloged and classified in LC. \$5
DLC

500 \$a Separately cataloged in LC before 2004. \$5 DLC

500 \$a Separately cataloged in LC after vol. for 2003. \$5 DLC

500 \$a Volume for 1986 separately cataloged in LC. \$5

It is important that these monograph records represent consecutive numbers so that there is a clear break in the database between when the title was handled as a monograph and handled as a serial.

- B. Link to the immediately preceding or succeeding monograph record. Do not create links to all of the monograph records.

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SERIAL RECORD

245 \$a Used tractor price guide.

500 \$a Volumes for 1987-1988 cataloged separately at LC. \$5 DLC

780 00 \$t 1988 used tractor price guide \$w (DLC) 88185816

MONOGRAPH RECORD

245 \$a 1988 used tractor price guide

785 00 \$t Used tractor price guide \$w (DLC) 98646816

II. One Monograph Record or Stray Monograph Records

If there is only one monograph record or stray monograph records with non-consecutive volume numbers, the monograph record is deleted and the holdings records attached to the monograph record are relinked to the serial bibliographic record. It is no longer necessary to order all pieces from the stacks and relabel them with the serial call number. The monographs remain in the stacks under their call number and are retrievable via their holdings and item records. Ensure that a bibliographic record exists for the serial.

Examine the level of the monograph record. There are two sets of procedures - one for monograph records without a call number and one for monograph records with a call number.

These procedures are not followed for monograph records stored at the Ft. Meade location. Instructions are in DCM C8.2. After relinking the holdings record from the monograph at Ft. Meade to the serial record, give package to your team leader to complete the processing on the Ft. Meade holdings record.

A. IBC or CBU Monograph Record without complete call number

Note that monograph records at the ibc level which are in hand are deleted and the piece is recorded on the serial record. If the piece represented by the ibc monograph record is not in hand, add a note to send the piece to SRD when found so processing can be completed.

CATALOGING STEPS

1. Add message to ibc monograph record in Voyager:

PIECE IN HAND

955 \$a [code date] MESSAGE: Being canceled; covered by serial bib
#xxxxxxx

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955 \$a [code date] MESSAGE: Being canceled; to be recat as a serial

PIECE NOT IN HAND

955 \$a [code date] MESSAGE: Item requested; to be recat as serial; when found, forward to SRD for processing

955 \$a [code date] MESSAGE: Item requested; covered by serial bib. #xxxxxxx; when found, forward to SRD for processing

2. Change 906 of monograph record to: \$a to 0; \$b to acq; \$g to z-acqworks
3. Suppress the monograph record from the OPAC
4. In OCLC, track LCCN of monograph record being canceled in 010 \$z of serial record.
5. On the item, line through any pencilled or barcoded LCCN.

Include printouts of monograph records being cancelled with cataloging package to assist in end-stage processing steps.

IBC records without pieces in hand require no action by the technician. When the piece is found and sent to SRD, technician follows steps 6-9 to process.

END-STAGE PROCESSING STEPS

6. If there is an item record with a barcode attached to the monograph holdings record, relink it to the serial holdings record. Delete the monograph holdings record. Note that the monograph ibc does not have a call number so the piece is covered by the serial holdings record and gets the serial call number.
7. Check piece in online in the Acquisitions Module or on the serial holdings record. For serial self-contained units, create item record if one does not already exist.
8. Forward piece(s) as appropriate, e.g. SRD Subject Shelves, appropriate custodial area, etc.
9. Give printout(s) for monograph bibliographic record deletion to staff

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person on your team with delete security in Voyager.

- a. If monograph record does not have a purchase order attached, the record is deleted.
- b. If monograph record has a purchase order attached, refer to technician to follow steps in section C.

B. CBC or CBU Monograph Record with complete call number

Monograph records at this level have a complete call number and subject headings. This procedure includes minimal level cataloging (MLC) shelf numbers. **IMPORTANT:** It is no longer necessary to retrieve monograph pieces from the stacks. You may need to retrieve a piece if you do not have one in order to create a record for the serial. Most of the time, you will be working from printouts.

CATALOGING STEPS

1. Add message to monograph record in Voyager:
955 \$a [code date] MESSAGE: Being canceled; covered by serial bib
#xxxxxxx

955 \$a [code date] MESSAGE: Being canceled; to be recat as a serial
2. Change 906 of monograph record to: \$a to 0; \$b to acq; \$g to z-acqworks.
3. Suppress the monograph record from the OPAC.
4. In OCLC, track LCCN of monograph record being canceled in 010 \$z of serial record.
5. Include printouts of monograph records being cancelled with cataloging package to assist in end-stage processing steps.

END-STAGE PROCESSING STEPS

Since pieces are no longer retrieved, simply relink all monograph holdings records to the serial bibliographic record. However, do NOT relink holdings records for a monograph record attached to a purchase order. Retain all of the information in the relinked

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monograph holdings record but add notes as instructed below. Also ensure that item records exist and are properly completed.

6. Relink the monograph holdings record or records to the serial bibliographic record. Any item records attached to the monograph holdings record will automatically be relinked along with the holdings record.

If you cannot relink the monograph holdings record because there is purchase order attached, create a new holdings record attached to the serial record for this item. Copy the 852 field from the existing holdings record to this new one. Also relink any item record with a bar code from the monograph holdings record to this new holdings record. Edit holdings record as indicated below in steps 7, 8, and 9.

DUPLICATES - EXTRA COPY BEYOND SET 1: If issue already recorded on the serial holdings record, do we suppress the relinked monograph holdings record?

7. On the holdings record, update the leader "TYPE OF RECORD" code to "y" and the ENCODING LEVEL to "3."
8. On the holdings record, add a subfield 3 as the first subfield in the 852 field. Record in subfield \$3 the enumeration and chronology of the issue. NOTE: Do not automatically use the publication date in the monograph call number as the designation. Examine the monograph bibliographic record for other clues for the appropriate designation - year of coverage, edition number, etc. Use publication date if nothing else can be found.
9. On the holdings record, add to the 852 field a subfield \$x containing "Do not add any holdings to this record in an 866 field; book still marked with monograph call number. [date] [code]"
10. On the item record, change the "Item Type" to "Serial/Newspaper."
11. Based on information in the monograph bibliographic record, add the number for the serial in the "Enum" area and/or the date for the serial in the "Chron" area of the item record; if the serial only has a year for the date, record it in the "Enum" area of the item record. These steps make the Call Slip display intelligible.

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12. Forward any piece(s) in the package as appropriate, e.g. SRD Subject Shelves, appropriate custodial area, etc.
13. Give printout(s) for monograph bibliographic record deletion to staff person on your team with delete security in Voyager.
 - a. If monograph record does not have a purchase order attached, the record is deleted. Note that an item record without a barcode can be deleted. Item records with barcodes are relinked with the holdings record to the serial record.
 - b. If monograph record has a purchase order attached, give to technician to follow steps in Section C.

C. Monographs Attached to Purchase Orders

At the present time, it is not possible to delete a monograph record that has a purchase order attached to it. The monograph record is retained in Voyager for audit trail purposes. The record remains in Voyager as an “acq” record, suppressed from the OPAC, with messages in the record and its holding records that it is covered by a serial record.

1. Verify that monograph record is suppressed from OPAC.
2. Verify 906 of monograph record is as follows: \$a to 0; \$b to acq; \$g to z-acqworks.
3. Add to the first \$a of the 955 field of the record a cross reference directing staff to the serial record.

955 \$a da01 2005-04-18 X-REF: COVERED BY LCCN 2005123456;
cannot delete (purchase order attached)

4. Delete the following fields from the monograph record: 925, 050/097, 4xx, 6xx, 7xx, 8xx.
5. In the 852 of the monograph holdings record, add the same cross reference to the \$x as added to the bibliographic record.

852 0# \$b c-GenColl \$x da01 2005-04-18 X-REF: COVERED BY LCCN
2005123456; cannot delete (purchase order attached)

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6. Verify that LCCN of monograph record being cancelled is tracked in 010 \$z of the serial record.
7. Forward a printout of the monograph record to the appropriate Acquisitions Team as a notice that the record has been cancelled in favor of the serial record.